

Utility Patent Application Transmittal

For new nonprovisional applications under 37 CFR § 1.53(b)

Attorney Docket Number 10110-5
 First Inventor or Application Identifier Kaoru Kagami
 Title OPTICAL FILTERING MODULE AND OPTICAL DEVICES USING SUCH OPTICAL FILTERING MODULE
 Express Mail Label Number EM372933725US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

Address To: Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

- ☒ *Fee Transmittal Form (e.g., PTO/SB/17)
2. ☐ Applicant claims small entity status
 See 37 CFR 1.27
3. ☒ Specification [Total Pages 28]
 (preferred arrangement set forth below)
- Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Investigation
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) 20
5. Oath or Declaration (unsigned) [Total Pages 3]
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 C.F.R. §1.63(d))
 (for continuation/divisional with Box 16 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
 Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
6. Application Data Sheet
 See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or computer program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. ☐ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies) or
- ii. ☐ paper
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2B)(B)(I)
17. ☒ Other: Ck # 24778 in the amount of \$ 906.00.

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76:

This new application claims priority of the following Japanese patent applications: #2000-209135 – Japan – filed July 10, 2000; and #2000-399867 – Japan – filed December 28, 2000.

or CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. the incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label or ☒ Correspondence address below
 Insert Customer No. or Attach bar code label here

Name Vincent O. Wagner
 Woodard, Emhardt, Naughton, Moriarty and McNett

Address Bank One Center/Tower
 111 Monument Circle, Suite 3700

City Indianapolis State IN Zip Code 46204-5137

Country USA Telephone 317-634-3456 Fax 317-637-7561

Name (Print/Type) Vincent O. Wagner Registration No. (Attorney/Agent) 29,596

Signature *Vincent O. Wagner* Date: July 9, 2001

Express Mail Label Number EM372933725US

Date of Deposit July 9, 2001

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR Section 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington DC 20231.

Norelita K. Gross
 Signature of person mailing paper or fee

FEE TRANSMITTAL

FOR FY 2001

Patent fees are subject to annual revision.
Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid.
See Forms PTO/SB/09-12.

Complete if Known

Application Number Filed Herewith
Filing Date July 10, 2001
First Named Inventor Kaoru Kagami, et al.
Group Art Unit
Examiner Name
Attorney Docket Number 10110-5

Total Amount of Payment (\$)**906.00**

Method of Payment (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Acct. Name/# **23-3030 Woodward, Emhardt, Naughton, Moriarty & McNett**

☒ Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

Fee Calculation (continued)

3. ADDITIONAL FEES

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description | Fee Paid |
|----------------|-----------------|----------------|-----------------|--|----------|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet. | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 390 | 216 | 195 | Extension for reply within second month | |
| 117 | 890 | 217 | 445 | Extension for reply within third month | |
| 118 | 1,390 | 218 | 695 | Extension for reply within fourth month | |
| 128 | 1,890 | 228 | 945 | Extension for reply within fifth month | |
| 119 | 310 | 220 | 155 | Notice of Appeal | |
| 120 | 310 | 220 | 155 | Filing a brief in support of an appeal | |
| 121 | 270 | 221 | 135 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,240 | 241 | 620 | Petition to revive - unintentional | |
| 142 | 1,240 | 242 | 620 | Utility issue fee (or reissue) | |
| 143 | 440 | 242 | 220 | Design issue fee | |
| 144 | 600 | 244 | 300 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Petitions related to provisional applications | |
| 126 | 240 | 126 | 240 | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 710 | 246 | 355 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149 | 710 | 249 | 355 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 179 | 710 | 279 | 355 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |
| SUBTOTAL(3) | | | | | \$ |

Fee Calculation

1. BASIC FILING FEE

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description | Fee Paid \$ |
|----------------|-----------------|----------------|-----------------|------------------------|-------------|
| 101 | 710 | 201 | 355 | Utility Filing Fee | \$ 710.00 |
| 106 | 320 | 206 | 160 | Design Filing Fee | |
| 107 | 490 | 207 | 245 | Plant Filing Fee | |
| 108 | 710 | 208 | 355 | Reissue Filing Fee | |
| 114 | 150 | 214 | 75 | Provisional Filing Fee | |

SUBTOTAL (1) (\$)**710.00**

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee From Below | Fee Paid |
|--------------|--------------|----------------|----------------------|
| 22 | -20** | = 2 | X \$ 18.00= \$ 36.00 |
| 5 | - 3** | = 2 | X \$ 80.00= \$160.00 |

Multiple Dependent

** or number previously paid, if greater; for reissues, see below

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description |
|---------------------------------|-----------------|----------------|-----------------|---|
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid |
| 109 | 80 | 209 | 40 | **Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2) (\$) 196.00 | | | | |

*reduced by Basic Filing Fee Paid

SUBMITTED BY

Typed or Printed Name

Vincent O. Wagner

Signature

Date:

July 9, 2001

Complete (if applicable)

Reg. Number

29,596

Deposit Account User ID

23-3030